

#3



UNITED STATES PATENT AND TRADEMARK OFFICE

OPIE
APR 08 2002

COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/081,438	02/22/2002	Gregory W. Kasten	15904/31153

021888
 THOMPSON COBURN, LLP
 ONE FIRSTSTAR PLAZA
 SUITE 3500
 ST LOUIS, MO 63101

CONFIRMATION NO. 1005

FORMALITIES LETTER



OC000000007662310

Date Mailed: 03/18/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

*A copy of this notice **MUST** be returned with the reply.*

Haimanot Tegbamu

Customer Service Center

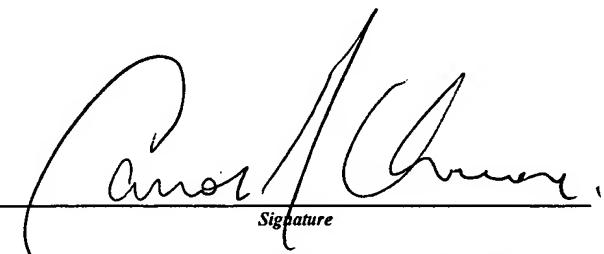
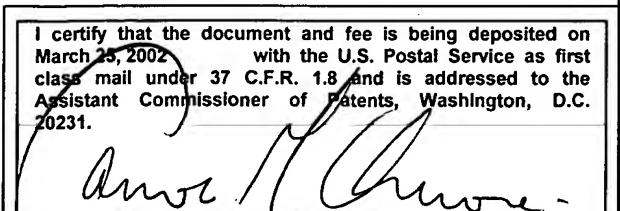
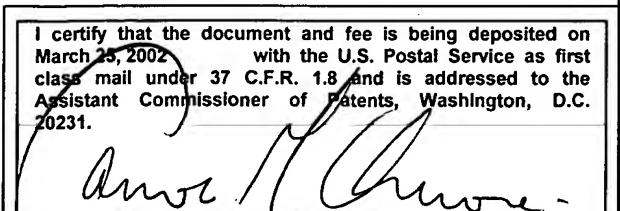
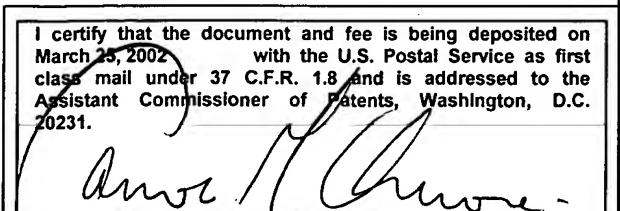
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

04/10/2002 NM0HAMM1 00000039 200823 10081438

01 FC:205

65.00 CH

TRANSMITTAL LETTER R.P.C. General, Patent Pending)		Docket No. 15904/31153								
In Re Application Of Gregory W. Kasten										
Serial No. 10/081,438	APR 08 2002 PATENT & TRADEMARK OFFICE Filing Date 02/22/02	Examiner To be assigned								
Group Art Unit 2161										
<p>Title: System and Method of Rating Financial Investment</p> <p style="text-align: right;">#3</p>										
<u>TO THE COMMISSIONER OF PATENTS AND TRADEMARKS</u>										
<p>Transmitted herewith is:</p> <p>Copy of Notice to File Missing Parts of Nonprovisional Application, Declaration for Utility Patent Application (37 CFR 1.63), Power of Attorney or Authorization of Agent, Statement Under 37 CFR 3.73(b), Postcard</p>										
<p>in the above identified application.</p> <p><input type="checkbox"/> No additional fee is required.</p> <p><input type="checkbox"/> A check in the amount of _____ is attached.</p> <p><input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge and credit Deposit Account No. 20-0823 as described below. A duplicate copy of this sheet is enclosed.</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Charge the amount of \$65.00 <input checked="" type="checkbox"/> Credit any overpayment. <input checked="" type="checkbox"/> Charge any additional fee required. 										
 <u>Caroline G. Chicoine</u> <i>Signature</i>		Dated: March 25, 2002								
<p>Caroline G. Chicoine, Reg. No. 38,198 Thompson Coburn LLP One US Bank Plaza, Suite 3500 St. Louis, Missouri 63101-9928 314-552-6499 314-552-7499 FAX</p> <p>Customer No.:021888</p>										
<table border="1"> <tr> <td colspan="2"> <p>I certify that the document and fee is being deposited on <u>March 25, 2002</u> with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231.</p> <p> <i>Caroline G. Chicoine</i></p> </td> </tr> <tr> <td colspan="2"> <p><i>Signature of Person Mailing Correspondence</i></p> </td> </tr> <tr> <td colspan="2"> <p>Caroline G. Chicoine</p> </td> </tr> <tr> <td colspan="2"> <p><i>Typed or Printed Name of Person Mailing Correspondence</i></p> </td> </tr> </table>			<p>I certify that the document and fee is being deposited on <u>March 25, 2002</u> with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231.</p> <p> <i>Caroline G. Chicoine</i></p>		<p><i>Signature of Person Mailing Correspondence</i></p>		<p>Caroline G. Chicoine</p>		<p><i>Typed or Printed Name of Person Mailing Correspondence</i></p>	
<p>I certify that the document and fee is being deposited on <u>March 25, 2002</u> with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231.</p> <p> <i>Caroline G. Chicoine</i></p>										
<p><i>Signature of Person Mailing Correspondence</i></p>										
<p>Caroline G. Chicoine</p>										
<p><i>Typed or Printed Name of Person Mailing Correspondence</i></p>										